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9/4/03IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Peidong Wang et al.  
Serial No.: 09/966,502  
Filing Date: 09/28/2001  
Title: TUNABLE FABRY-PEROT FILTER AND TUNABLE  
VERTICAL CAVITY SURFACE EMITTING LASER  
Group Art Unit: 2828  
Examiner: Hung T. Vy  
Attorney's Docket No.: CORE-84

Assistant Commissioner For Patents  
Washington, D.C. 20231

Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR 1.56, 1.97 and 1.98, Applicants hereby make the following documents of record in the above-identified application:

U.S. Patents

- (1) U.S. Patent No. 4,825,262, issued 04/25/89 to Mallinson;
- (2) U.S. Patent No. 4,859,060, issued 08/22/89 to Katagiri et al.;
- (3) U.S. Patent No. 5,022,745, issued 06/11/91 to Zayhowski et al.;
- (4) U.S. Patent No. 5,629,951, issued 05/13/97 to Chang-Hasnain et al.;
- (5) U.S. Patent No. 5,291,502, issued 03/01/94 to Pezeshki et al.;
- (6) U.S. Patent No. 5,142,414, issued 08/25/92 to Koehler;
- (7) U.S. Patent No. 5,331,658, issued 07/19/94 to Shieh et al.;
- (8) U.S. Patent No. 5,818,862, issued 10/06/98 to Salet;
- (9) U.S. Patent No. 5,646,729, issued 07/08/97 to Koskinen et al.;
- (10) U.S. Patent No. 5,879,961, issued 03/09/99 to Scott;
- (11) U.S. Patent No. 5,771,253, issued 06/13/98 to Chang-Hasnain et al.;
- (12) U.S. Patent No. 5,561,680, issued 10/01/96 to Habernern et al.;
- (13) U.S. Patent No. 5,825,796, issued 10/20/98 to Jewell et al.;
- (14) U.S. Patent No. 5,491,710, issued 02/13/96 to Lo;
- (15) U.S. Patent No. 5,339,326, issued 08/16/94 to Tsujimura et al.;
- (16) U.S. Patent No. 5,949,801, issued 09/07/99 to Tayebati;
- (17) U.S. Patent No. 5,381,434, issued 01/10/95 to Bhat et al.;

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Foreign Documents

- (18) PCT International Publication No. WO 98/14807 published 04/09/98;

Other Documents

- (19) Larson, M.C. et al. "Vertical Coupled-Cavity Microinterferometer On GaAs With Deformable-Membrane Top Mirror", IEEE Photonics Technology Letters, Vol. 7, No. 4, 382-384, April 1995;
- (20) Tran, A.T.T.T. et al., "Surface Micromachined Fabry-Perot Tunable Filter", IEEE Photonics Technology Letters, Vol. 8, No. 3, 393-395, March 1996;
- (21) Larson, M.C. et al., "Broadly-tunable resonant-cavity light emission", Applied Physics Letters, Vol. 67, No. 5, 590-592, 31 July 1995;
- (22) Wu, M.S. et al., "Tunable micromachined vertical-cavity surface emitting laser", Electronics Letters, Vol. 31, No. 19, pp. 1671-1672, 14 September 1995;
- (23) Larson, M.C. et al., "Continuously tunable micromachined vertical cavity surface emitting laser with 18 nm wavelength range", Electronics Letters, Vol. 32, No. 4, pp. 330-332, 15 February 1996; and
- (24) Larson, M.C., et al. "Continuously tunable micro-electromechanical vertical-cavity surface-emitting lasers", International Journal of Optoelectronics, 1995, Vol. 10, No. 5, pages 401-408.

The above-identified documents 1-15 and 18, which are listed on the accompanying Form PTO-1449 (two pages), were previously submitted to, or cited by, the U.S. Patent and Trademark Office in U.S. Application Serial No. 09/105,399. The above-identified documents 16-17 and 19-24, which are listed on the accompanying Form PTO-1449 (two pages), were previously submitted to, or cited by the U.S. Patent and Trademark Office in U.S. Application Serial No. 09/750,434. Applicants respectfully request that these documents be fully considered by the U.S. Patent and Trademark Office during the examination of this application and printed on any patent which may issue on this application. Applicants also respectfully request that a copy of Form PTO-1449 (two pages), as considered and initialed by the Examiner, be returned to the undersigned with the next communication.

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It is believed that this disclosure complies with the requirements of 37 CFR 1.56, 1.97 and 1.98. If for any reason the Examiner considers otherwise, it is respectfully requested that the undersigned be contacted by the Examiner by telephone in order that any deficiencies may be expeditiously remedied.

Please charge any additional fees due in connection with this submission, or credit any overpayment, to Deposit Account No. 16-0221. A duplicate copy of this submission is enclosed for the convenience of the Examiner.

Thank you.

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID, IN AN ENVELOPE ADDRESSED TO: ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231, ON:

March 31, 2003

(DATE OF DEPOSIT)

James A. Sheridan

(NAME OF ATTORNEY)

*James A. Sheridan 03/31/03*

(SIGNATURE)

March 31, 2003

(DATE OF SIGNATURE)

Respectfully submitted,

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